

05-03-06

3624

Howrey Docket No. 00332.0007.CNUS01

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Gastineau *et al.*

Appl. No.: 09/815,589

Filed: March 23, 2001

For: HEDGING TRADING OF MUTUAL
FUNDS OR OTHER PORTFOLIO
BASKET PRODUCTS

Examiner: TBA

Art Unit: 3624

Confirmation No.: 7446

Atty. Docket No: 00322.0007.CNUS01

Date: May 2, 2006

**TRANSMITTAL OF INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. §1.56, 1.97 and 1.98**

Mail Stop Amendment

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Sir:

Applicants submit the following documents for appropriate action by the U.S. Patent and Trademark Office:

- ☒ Supplemental Information Disclosure Statement under 37 C.F.R. §1.56, 1.97 and 1.98;
- ☒ Form PTO-1449 citing two (2) references, copies of which are provided;
- ☒ Copy of Communication from Foreign Patent Office dated April 5, 2006; and
- ☒ Return postcard.

CERTIFICATE OF MAILING
(37 C.F.R. §1.10(a))

I hereby certify that this paper (along with any referred to as being attached hereto) is being deposited with the United States Postal Service (USPS) on the date shown below using the "Express Mail Post Office to Addressee" service of the USPS (Express Mail No. EL 560496081US) in an envelope addressed to the *Mail Stop Amendments*, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

May 2, 2006
Date of Deposit

Joan M. Gordon
Name of Person Mailing Paper

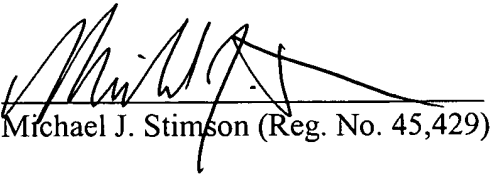

Signature of Person Mailing Paper

No fees are believed to be due in connection with the filing of this Supplemental Information Disclosure Statement, however, should any other fees be required for any reason, the Commissioner is authorized to deduct said fees from Deposit Account No. 08-3038, Atty. Docket No. 00322.0007.CNUS01.

Applicants respectfully request that the listed documents be made of record in the present case.

Respectfully submitted,

Date: May 2, 2006


Michael J. Stimson (Reg. No. 45,429)

HOWREY SIMON ARNOLD & WHITE, LLP
2941 Fairview Park Drive, Box 7
Falls Church, VA 22042
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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR § 1.56, 1.97 AND 1.98

Mail Stop Amendments

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Dear Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56, it is respectfully requested that this Supplemental Information Disclosure Statement be entered and the documents listed on attached Form PTO-1449 be considered by the Examiner and made of record. Copies of the two (2) listed documents required by 37 C.F.R. § 1.98(a)(2) are enclosed for the convenience of the Examiner.

In accordance with 37 C.F.R §§ 1.97(g),(h), this Supplemental Information Disclosure Statement is not to be construed as a representation that a search has been made, and is not to be construed to be an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

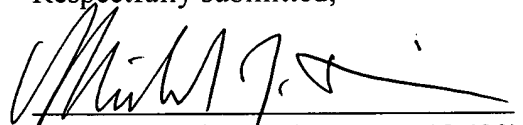
In accordance with 37 C.F.R. § 1.97(e)(1), Applicants hereby certify that each item of information contained in this Supplemental Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the present statement, as evidenced by the enclosed Communication dated April 5, 2006.

No fees are believed to be due in connection with the filing of this Supplemental Information Disclosure Statement, however, should any other fees be required for any reason, the Commissioner is authorized to deduct said fees from Deposit Account No. 08-3038, Atty. Docket No. 00322.0007.CNUS01.

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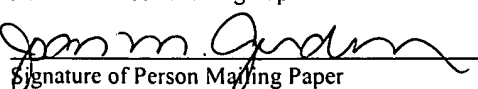

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May 2, 2006
Date of Deposit

Joan M. Gordon
Name of Person Mailing Paper

Signature of Person Mailing Paper

Form PTO-1449 (modified)

Atty. Docket No.:
00322.0007.CNUS01Serial No.:
09/815,589

List of Patents and Publications for Applicant's

Applicant:
Gary L. Gastineau *et al.*

INFORMATION DISCLOSURE STATEMENT

Filing Date:
March 23, 2001Group:
3624

(Use several sheets if necessary)

U.S. Patent Documents
See Page 1Foreign Patent Documents
See Page 1Other Art
See Page 1

U.S. Patent Documents (do NOT delete this heading)

U.S. Patent Documents

| Exam. Init. | Ref. Des. | Document Number | Date | Name | Class | Sub Class | Filing Date of App. |
|-------------|-----------|-----------------|------|------|-------|-----------|---------------------|
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Foreign Patent Documents

| Exam. Init. | Ref. Des. | Document Number | Date | Country | Class | Sub Class | Translation Yes/No |
|-------------|-----------|-----------------|----------|---------|-------|-----------|--------------------|
| | | 0 434 877 A1 | 07/03/91 | EP | | | |
| | | W0 96/18963 | 06/20/96 | PCT | | | |
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Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

| Exam. Init. | Ref. Des. | Citation |
|-------------|-----------|---|
| | C1 | Copy of Communication pursuant to Article 96(2) EPC, dated April 5, 2006. |
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EXAMINER:

DATE CONSIDERED:

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)

